**INITIAL**

**End Date:** 11/28/2023  
**Firm Name:** UBS FINANCIAL SERVICES INC  
**Form:** Daily Seg - FOCUS II  
**Submit Date:** 11/29/2023

### Daily Segregation - Secured Amounts

**Foreign Futures and Foreign Options Secured Amounts**
- Amount required to be set aside pursuant to law, rule or regulation of a foreign government or a rule of a self-regulatory organization authorized thereunder: 0 [7305]

1. **Net ledger balance - Foreign Futures and Foreign Option Trading - All Customers**
   - **A. Cash:** 4,701,513 [7315]
   - **B. Securities (at market):** 0 [7317]

2. **Net unrealized profit (loss) in open futures contracts traded on a foreign board of trade:** 988,996 [7325]

3. **Exchange traded options**
   - **a. Market value of open option contracts purchased on a foreign board of trade:** 0 [7335]
   - **b. Market value of open contracts granted (sold) on a foreign board of trade:** -226,493 [7337]

4. **Net equity (deficit) (add lines 1. 2. and 3.):** 5,464,016 [7345]

5. **Account liquidating to a deficit and account with a debit balances - gross amount:** 0 [7351]
   - **Less: amount offset by customer owned securities:** 0 [7352] [7354]

6. **Amount required to be set aside as the secured amount - Net Liquidating Equity (Method (add lines 4 and 5)):** 5,464,016 [7355]

7. **Greater of amount required to be set aside pursuant to foreign jurisdiction (above) or line 6:** 5,464,016 [7360]

### FUNDS DEPOSITED IN SEPARATE REGULATION 30.7 ACCOUNTS

1. **Cash in banks**
   - **A. Banks located in the United States:** 34,839,311 [7500]
   - **B. Other banks qualified under Regulation 30.7:** 0 [7520] 34,839,311 [7530]

2. **Securities**
   - **A. In safekeeping with banks located in the United States:** 0 [7540]
   - **B. In safekeeping with other banks qualified under Regulation 30.7:** 0 [7560] 0 [7570]

3. **Equities with registered futures commission merchants**
   - **A. Cash:** 383,864 [7580]
   - **B. Securities:** 0 [7590]
   - **C. Unrealized gain (loss) on open futures contracts:** 0 [7600]
   - **D. Value of long option contracts:** 0 [7610]
   - **E. Value of short option contracts:** 0 [7615] 383,864 [7620]

4. **Amounts held by clearing organizations of foreign boards of trade**
   - **A. Cash:** 0 [7640]
   - **B. Securities:** 0 [7650]
   - **C. Amount due to (from) clearing organization - daily variation:** 0 [7660]
   - **D. Value of long option contracts:** 0 [7670]
   - **E. Value of short option contracts:** 0 [7675] 0 [7680]

5. **Amounts held by members of foreign boards of trade**
   - **A. Cash:** 1,804,326 [7700]
   - **B. Securities:** 0 [7710]
   - **C. Unrealized gain (loss) on open futures contracts:** 988,996 [7720]
   - **D. Value of long option contracts:** 0 [7730]
   - **E. Value of short option contracts:** -226,493 [7735] 2,566,829 [7740]

6. **Amounts with other depositories designated by a foreign board of trade:** 0 [7760]

7. **Segregated funds on hand:** 0 [7765]

8. **Total funds in separate section 30.7 accounts:** 37,790,004 [7770]

9. **Excess (deficiency) Set Aside for Secured Amount (subtract line 7 Secured Statement Page 1 from Line 8):** 32,325,988 [7780]

10. **Management Target Amount for Excess funds in separate section 30.7 accounts:** 15,000,000 [7780]

11. **Excess (deficiency) funds in separate 30.7 accounts over (under) Management Target:** 17,325,988 [7785]
### Daily Segregation - Segregation Statement

**SEGREGATION REQUIREMENTS (Section 4d(2) of the CEAct)**

1. **Net ledger balance**
   - A. Cash: 63,881,804
   - B. Securities (at market): 68,924,039

2. **Net unrealized profit (loss) in open futures contracts traded on a contract market**: -4,230,746

3. **Exchange traded options**
   - A. Add market value of open option contracts purchased on a contract market: 294,106
   - B. Deduct market value of open option contracts granted (sold) on a contract market: -431,757

4. **Net equity (deficit) (add lines 1, 2 and 3)**: 128,437,446

5. **Accounts liquidating to a deficit and accounts with debit balances - gross amount**: 684,669
   - Less: amount offset by customer securities: -684,669

6. **Amount required to be segregated (add lines 4 and 5)**: 128,437,446

**FUNDS IN SEGREGATED ACCOUNTS**

7. **Deposited in segregated funds bank accounts**
   - A. Cash: 65,178,363
   - B. Securities representing investments of customers’ funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

8. **Margins on deposit with derivatives clearing organizations of contract markets**
   - A. Cash: 0
   - B. Securities representing investments of customers’ funds (at market): 0
   - C. Securities held for particular customers or option customers in lieu of cash (at market): 0

9. **Net settlement from (to) derivatives clearing organizations of contract markets**: 0

10. **Exchange traded options**
    - A. Value of open long option contracts: 0
    - B. Value of open short option contracts: 0

11. **Net equities with other FCMs**
    - A. Net liquidating equity: 71,414,664
    - B. Securities representing investments of customers’ funds (at market): 0
    - C. Securities held for particular customers or option customers in lieu of cash (at market): 68,924,039

12. **Segregated funds on hand**: 0

13. **Total amount in segregation (add lines 7 through 12)**: 205,517,066

14. **Excess (deficiency) funds in segregation (subtract line 6 from line 13)**: 77,079,620

15. **Management Target Amount for Excess funds in segregation**: 35,000,000

16. **Excess (deficiency) funds in segregation over (under) Management Target Amount**: 42,079,620